

PTO/SB/08B (08-00)
Approved for use through 4/30/2003. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Cubathata	Substitute for form 1449/PTO		Complete If Known		
Substitute			Application Number	10/696,900	
INF	ORMAT	ION [DISCLOSURE	Filing Date	October 30, 2003
	STATEMENT BY APPLICANT			First Named Inventor	James M. Wilson
(4	Jse as many	sheets a	s necessary)	Group Art Unit	1635
			Examiner Name	Brian A. Whiteman	
Sheet	1	of	1	Attorney Docket Number	GNV31AUSA/K1774CON

			U.S. PATENT DOCUMENT	8	
		Document Number		Name of	
Examiner Initials*	Cite No. ¹	Number-Kind Code ^{2(if} known)	Publication Date MM-DD-YYYY	Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

Examiner Initials*	Cite No.1	Foreign Patent Document Country Code ³ - Number ⁴ -Kind Code ⁵ (if known)			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
M	EEE	PCT	WO 02/063025	A2	08-15-2002	Avigen, Inc.		

Examiner Signature θ_{λ}) ψ	Date Considered	30/01
# FVANTAIFD. F-INI-116' - F-	111 14050 600 0	

^{*} EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 USC 122 and 37 CFR 1.14. this collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETE FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, PO Box 1450, Alexandria, 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

PE 1 1 2004 W

PTO/SB/08B (08-00)

Approved for use through 4/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

VIIIAU VIIIIAU VIIIAU VIIIAU VIIIAU VIIIAU VIIIAU VIIIAU VIIIAU VIIIAU VIIIIAU VIIIAU VIIIAU VIIIAU VIIIAU VIIIAU VIIIAU VIIIAU VIIIAU VIIIIAU VIIIIAU VIIIIAU VIIIAU VIII	Complete if Known		
Substitute for form 1449/PTO	Application Number	10/696,900	
INFORMATION DISCLOSURE	Filing Date	October 30, 2003	
STATEMENT BY APPLICANT	First Named Inventor	James M. Wilson, M.D., Ph.D.	
(Use as many sheets as necessary)	Group Art Unit	1635	
	Examiner Name	Brian A. Whiteman	
Sheet 1 of 1	Attorney Docket Number	GNV31AUSA/K1774CON	

			U.S. PATENT DOCUMENT	rs		
		Document Number		Name of	Page Calama Lines	
	Cite No. ¹	Number-Kind Code ^{2(if}	Publication Date MM-DD-YYYY	Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
D	CCC	US-2002-0159978 A1	10-31-2002	Allen-		
	<u> </u>					

	***************************************	FOREIG	N PATENT DOCUMENTS			
Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T6
		Country Code ³ - Number ⁴ -Kind Code ⁵ (if known)	WIWI-DD-1111	Cited Document		
						-

Examiner	A	Date
LAMINING	1 //) / / / /	1 4 / 2 1 11
Signature	10, 204	Considered
Signature	1 mm ~ NG	Considered

^{*} EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 USC 122 and 37 CFR 1.14. this collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to the (and by the USPTO to process) an application. Confidentiality is governed by 35 USC 122 and 37 CFR 1.14. this collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETE FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, PO Box 1450, Alexandria, 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



PTO/SB/08B (04-03)
Approved for use through 4/30/2003. OMB 0651-0031
U.S. Patent and Trademark Office;
U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it

C b - +15 t	The Alberta for form 1440/DTO			Complete if Known		
Substitute for form 1449/PTO				Application Number	10/696,900	
	INFO	RMA	TION	Filing Date	October 30, 2003	
	DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			First Named Inventor	Wilson et al	
				Group Art Unit	1635	
(Examiner Name	Brian A. Whiteman	
Sheet	1	of	2	Attorney Docket Number	GNV31AUSA/ UPN-K1774CON	

		U.S.	PAIL	NT DOCUMENTS			
Examiner Initials*	Cito	Document Number]	Name of Patentee	Pages, Columns, Lines, Where	
	Cite No. ¹	Number-Kind Code ^{2(Ifknown)}		Publication Date MM-DD-YYYY	or Applicant of Cited Document	Relevant Passages or Relevant Figures Appear	
PV	FFF	US-2004-0057932 A1		03-25-2004	Wilson et al		
	GGG	US-2004-0057931 A	A 1	03-25-2004	Wilson et al		
R	ННН	US-6,759,237	B1	07-06-2004	Wilson et al		
	 						

		ATENT DOCUMENTS			
	Foreign Patent Document		Name of Patentee or	Pages, Columns, Lines, Where	T
Cite No. ¹	Country Code ³ - Number ⁴ -Kind Code ⁵ (If known)	Publication Date MM-DD-YYYY	Applicant of Cited Document	Relevant Passages or Relevant Figures Appear	
	·=				_
		Cite No. 1 Country Code3 - Number 4-Kind	Cite Publication Date No.1 Country Code3- Number4-Kind MM-DD-YYYY	Cite Foreign Patent Document Cite Publication Date Applicant of Cited Country Code ³ - Number ⁴ -Kind MM-DD-YYYY Code Code Cited	Cite No.1 Country Code3- Number4-Kind Code5(if known) Publication Date MM-DD-YYYY MM-DD-YYYY Publication Date MM-DD-YYYY MM-DD-YYYY MM-DD-YYYY Patentee or Applicant of Cited Passages or Relevant Figures

			·	
Examiner	177	111/	Date	11/ 24/4/
Signature	42 Mis	6)110	Considered	11170113

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ¹ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 USC 122 and 37 CFR 1.14. this collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the Individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETE FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Alexandria, VA 22313-1450.



Examiner

Approved for use through 4/30/2003.
OMB 0551-0031
U.S. Patent and Trademark Office;
U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it valid OMB control number.

Substitut	e for form	1449/PTO)	С	omplete if Known
	INFO	RMA	TION	Application Number	10/696,900
DISCLOSURE			-	Filing Date	October 30, 2003
	STATEMENT BY			First Named Inventor	James M. Wilson
		PLICA		Group Art Unit	1635
(Use as ma	any sheet	ts as necessary)	Examiner Name	Brian A. Whiteman
Sheet	Sheet 2 of 2		2	Attorney Docket Number	GNV31AUSA/ UPN-K1774CON

n	Ш	city and/or country where published	
W \	111	GAO ET AL, Clades of Adeno-Associated viruses are widely Disseminated in Human Tissues, Journal of Virology, Vol. 78, No. 12, pp. 6381-6388, (June 2004)	
	JJJ	GAO ET AL, Erythropoietin Gene Therapy Leads to Autoimmune Anemia in Macaques, Blood, Vol. 103, No. 9, (May 1, 2004)	
r	KKK	RICK ET AL, Congenital Bleeding Disorders, American Society of Hematology, pp. 559-574, (2003)	

Signature	Pa mo		Considered	1 11/31/16	2
* EXAMINE	ER: Initial if reference considered	, whether or not citation	Is in conforman	ce with MPEP 609	. Draw line
through citati	ion if not in conformance and not	considered. Include cor	by of this form w	ith next communi	ication to
applicant. 1	Applicant's unique citation design	ation number (optional).	² Applicant is to	place a check ma	ark here if English
language Tra	nslation is attached. This collecti	on of information is requi	ired by 37 CFR 1	97 and 1.98. Th	ne information is
required to of	btain or retain a benefit by the p	ublic which is to file (and	by the USPTO t	o process) an app	dication.
Confidentialit	y is governed by 35 USC 122 an	d 37 CFR 1.14. this coile	ction is estimate	ed to take 2 hours	to complete,

Date

Considered

M/31 10

Including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETE FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Alexandria, VA 22313-1450.



Examiner

Signature

Approved for use through 4/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office;
U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it

Substitut	e for form	n 1449/PT	0	Complete if Known		
	INF	ORMA	TION	Application Number	10/696,900	
		CLOS	-	Filing Date	October 30, 2003	
STATEMENT BY			NT BY	First Named Inventor	James M. Wilson	
	APPLICANT (Use as many sheets as necessary)			Group Art Unit	1635	
C				Examiner Name	Brian A. Whiteman	
Sheet 1 of 1		AM		GNV31AUSA/ UPN-K1774CON		

		OTHER PRIOR ART-NONPATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.¹	Include the name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item, (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), columeousse number(s), publisher, city and/or country where published	T ²
p	DDD	SURACE ET AL, Delivery of Adeno-Associated Virus Vectors to the Fetal Retina: Impact of Viral Capsid Proteins on Retinal Neuronal Progenitor Transduction, Journal of Virology, Vol. 77, No. 14, pp. 7957-7963, (July 2003)	
			<u> </u>
			

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line
through citation if not in conformance and not considered. Include copy of this form with next communication to
applicant. Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English
language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is
required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application.
Confidentially is coverned by 35 USC 122 and 27 CSD 1.14. this collection is estimated to take 3 hours to complete

Date

Considered

1/30561

Confidentiality is governed by 35 USC 122 and 37 CFR 1.14. this collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETE FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

PTO/5B/088 (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

or the Paper yeak Reduction Act of 1401, no persons are required to respond to a collection of information unless it contains a valid OMB control number

	Substitute for form 1449/P1		TRADEMATT	Complete if Known			
Substitut	te for form	1449/РТО	TRADED	Application Number	10/696,900		
INF	NFORMATION DISCLOSURE STATEMENT BY APPLICANT		DISCLOSURE	Filing Date	October 30, 2003		
STA	STATEMENT BY APPLICANT (Use as many sheets as necessary)			First Named Inventor	Wilson et al		
				Group Art Unit	1635		
				Examiner Name	Brian A. Whiteman		
Sheet	Sheet 1 of 1		Attorney Docket Number	GNV31AUSA/K1774CON			

		NONPATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include the name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item, (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T²
M	LLL	ZHI ET AL, Increased Antigen-Specific Humoral Response by Adenoviral Vector Prime and Adeno-Associated Viral Vector Boost, 7 th Annual Meeting of the American Society of Gene Therapy [June 2-6, 2004] Minneapolis, Minnesota, (e-publ. May 2, 2004)	
ρ	MMM	BOYER ET AL, Anti-SARS Humoral And Cellylar Immunity Evoked by Adenovirus Vector Expressing Spike Glycoprotein from SARS Coronavirus, Abstract 558, 7 th Annual Meeting of the American Society of Gene Therapy [June 2-6, 2004] Minneapolis, Minnesota, (e-publ. May 2, 2004)	
•			
		· ·	Т

Examiner D 1	Date	11/2/10
Signature 1 d3 A	Considered	
Signature 1727/70		

^{*} EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 USC 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETE FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

JAN 2 3 2004 33 2004

PTO/SB/088 (04-03) Approved for use through 4/30/2003. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 8

Со	mplete if Known
Application Number	10/696,900
Filing Date	October 30, 2003
First Named Inventor	James M. Wilson
Group Art Unit	1635
Examiner Name	Brian A. Whiteman
Attorney Docket Number	GNV31AUSA/ UPN-K1774CON

		-	U.S	. PATENT DOCUMEN	TS .	
Exa	aminer	Cite	Document Number	Publication Date	Name of Patentee	Pages, Columns, Lines, Where Relevant Passages
	itials*	No.1	Number-Kind Code ^{2(II known)}	MM-DD-YYYY	or Applicant of Cited Document	or Relevant Figures Appear
B.	$\overline{\mathcal{C}}$	Α	US-6,387,368 B1	05-14-2002	Wilson et al	
		В	US-6,274,354 B1	08-14-2001	Wilson et al	
		C	US-6,482,634 B1	11-19-2002	Wilson et al	
		D	US-6,475,769 B1	11-05-2002	Wilson et al	
		E	US-6,365,394 B1	04-02-2002	Gao et al	
<u>r</u>		F	US-6,399,385 B1	06-04-2002	Croyle et al	

		FOREIG	N PAT	TENT DOCUMENTS			
		Foreign Patent Document			Name of Patentee or	Pages, Columns, Lines, Where	Т6
Examiner Initials*	Cite No. ¹	Country Code ³ - Number ⁴ -Kind Code ⁵ (if known)		Publication Date MM-DD-YYYY	Applicant of Cited Document	Relevant Passages or Relevant Figures Appear	
₽ <u>~</u>	G	PCT WO03/093440	A2	11-13-2003	University of Florida		
	H	PCT WO03/092598	A2	11-13-2003	University of Florida		
BC	I	PCT WO98/11244	A2	03-19-1998	J. Chiorini		

Examiner /h	./ 1	Date	1.1 - 41
1 60	011×	Considered	10 / 7 to r/s
Signature		Constacted	111 1010-

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.goy or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 USC 122 and 37 CFR 1.14. this collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETE FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Alexandria, VA 22313-1450.

PTO/SB/08B (04-03)

Approved for use through 4/30/2003. OMB 0651-0031 U.S. Patent and Trademark Office;

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

. Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it

Substitute for form 1449/PTO

JAN 2 3 2004

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 2 of 8

Complete if Known					
Application Number	10/696,900				
Filing Date	October 30, 2003				
First Named Inventor	James M. Wilson				
Group Art Unit	1635				
Examiner Name	Brian A. Whiteman				
Attorney Docket Number	GNV31AUSA/ UPN-K1774CON				

		U.S	. PATENT DOCUMEN	ITS	
Examiner	Cite	Document Number	Publication Date	Name of Patentee	Pages, Columns, Lines, Where Relevant Passages
	No.1	Number-Kind Code ^{2(if known)}	MM-DD-YYYY	or Applicant of Cited Document	or Relevant Figures Appear
Jh~	J US-5,871,982 B1		02-16-1999	J. Wilson	
	K	US-6,258,595 B1	07-10-2001	G. Gao	
	L	US-6,274,354 B1	08-14-2001	J. Wilson	
Br	M	US-6,251,677 B1	06-26-2001	J. Wilson	

		FOREIGN PA	TENT DOCUMENTS		·	
Examiner Cite Initials* No. ¹		Foreign Patent Document Country Code ³ - Number ⁴ -Kind Code ⁵ (If known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	76
6 /2	N	PCT WO96/13598 A2	05-09-1996	J. Wilson		
	0	PCT WO98/10088 A1	03-12-1998	J. Wilson		
	P	PCT WO98/10086 A1	03-12-1998	J. Wilson		
	Q	PCT WO99/15677 A1	04-01-1999	J. Wilson		
	R	PCT WO99/14354 A1	03-25-1999	J. Wilson		
	S	PCT WO99/15685 A1	04-01-1999	J. Wilson		
	T	PCT WO99/47691 A1	09-23-1999	G. Gao		
	U	PCT WO00/55342 A1	09/21/2000	G. Gao		
B	V	PCT WO00/75353 A1	12-14-2000	W. Xiao		
Examiner Signature	,	Born Will	Date Consid	lered M/7	D [b]	

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.goy or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 USC 122 and 37 CFR 1.14. this collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETE FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Alexandria, VA 22313-1450

PTO/SB/08B (04-03) Approved for use through 4/30/2003. OM8 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it also a valid OMB control number.

ubstitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 3 of 8

Co.	Complete if Known					
Application Number	10/696,900					
Filing Date	October 30, 2003					
First Named Inventor	James M. Wilson					
Group Art Unit	1635					
Examiner Name	Brian A. Whiteman					
Attorney Docket Number	GNV31AUSA/ UPN-K1774CON					

U.S. PATENT DOCUMENTS								
Examiner	Cite	Document Number	Publication Date	Name of Patentee	Pages, Columns, Lines, Where Relevant Passages			
	No.1	Number-Kind Code ^{2(if known)}	MM-DD-YYYY	or Applicant of Cited Document	or Relevant Figures Appear			
D~	W	US-6,156,303	12-05-2000	Russell et al				
R	X	US-5,622,856	04-22-1997	Natsoulis				

		FOREIG	N PAT	TENT DOCUMENTS			
Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ - Number ⁴ -Kind Code ⁵ (If known)		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Τ°
5	Y	PCT WO01/23597 A	2	04-05-2001	G. Gao		
	Z	PCT WO01/23001 A	2.	04-05-2001	M. Croyle		
	AA	PCT WO01/83692 A	2	11-08-2001	M. Hildinger		
PL-	BB	PCT WO01/40455 A	2	06-07-2001	G. Gao	<u> </u>	†

Examiner	0 1/	Date	M	7	<u> </u>		
Signature	I dia l'	Considered	1 W	7、	16	11	1
	A			4	Ŀ	4.4	

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that Issued the document, by the two-letter code (WIPO Standard ST.3). ¹ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 USC 122 and 37 CFR 1.14. this collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETE FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Alexandria, VA 22313-1450.

PTO/SB/08B (08-00)
Approved for use
through 4/30/2003.
OMB 0651-0031
U.S. Patent and Trademark Office;
U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it valid OMB control number.

contains a valid OMB control number. Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY **APPLICANT**

(Use as many sheets as necessary)

4 8 Sheet

Signature

C	omplete if Known
Application Number	09/807,802
Filing Date	April 17, 2001
First Named Inventor	James M. Wilson
Group Art Unit	1635
Examiner Name	Brian A. Whiteman
Attorney Docket Number	GNV31AUSA/UPN-K1774

		OTHER PRIOR ART-NONPATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include the name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item, (book; magazine, journal, serial, symposium, catalog, etc.), date, page(s), columeousse number(s), publisher, city and/or country where published	T²
lich cc		HAUCK ET AL, Generation and Characterization of Chimeric Recombinant AAV Vectors, Molecular Therapy, Vol. 7, No. 3, pp. 419-425, (March 2003)	
	DD	RABINOWITZ ET AL, Cross-Packaging of a Single Adeno- Associated Virus (AAV) Type 2 Vector Genome into Multiple AAV Serotypes Enables Transduction with Broad Specificity, Journal of Virology, Vol. 76, No. 2, pp. 791-801, (January 2002)	
	EE	HAUCK ET AL, Characterization of Tissue Tropism Determinants of Adeno-Associated Virus Type 1, Journal of Virology, Vol. 77, No. 4, pp. 2768-2774, (February 2003)	
	FF	ARRUDA ET AL, Safety and Efficacy of Factor IX Gene Transfer to Skeletal Muscle in Murine and Canine Hemophilia B Models by Adeno-Associated Viral Vector Serotype 1, Blood First Edition Paper, (September 11, 2003)	
P	GG	E. RUTLEDGE ET AL, Infectious Clones and Vectors Derived from Adeno-Associated Virus (AAV) Serotypes Other Than AAV Type 2, Journal of Virology, 72(1):309-319 (January, 1998)	

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line
through citation if not in conformance and not considered. Include copy of this form with next communication to
applicant. Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English
language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is
required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application.
Confidentiality is governed by 35 USC 122 and 37 CFR 1.14. this collection is estimated to take 2 hours to complete,
including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending

Considered

upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETE FORMS TO THIS ADDRESS.

SEND TO: Commissioner for Patents, Alexandria, VA 22313-1450.

Examiner

Signature

Approved for use through 4/30/2003. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it

contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY **APPLICANT**

(Use as many sheets as necessary)

	·			L'Adminier Hanne	
Sheet ·	5	of	8	Attorney Docket Number	GNV3

Complete if Known						
Application Number	09/807,802					
Filing Date	April 17, 2001					
First Named Inventor	James M. Wilson					
Group Art Unit	1635					
Examiner Name	Brian A. Whiteman					
Attorney Docket Number	GNV31AUSA/UPN-K1774					

		OTHER PRIOR ART-NONPATENT LITERATURE DOCUMENTS		
Examiner Initials*	Cite No.1	Include the name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item, (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), columeousse number(s), publisher, city and/or country where published	T ²	
PY	HH	W. XIAO ET AL, Gene Therapy Vecotrs Based on Adeno- Associated Virus Type 1, Journal of Virology, 73(5):3994-4003 (May, 1999)		
	II	H. CHAO ET AL, Several Log Increase in Therapeutic Transgene Delivery by Distinct Adeno-Associated Viral Serotype Vectors, Molecular Therapy, 2(6):619-623 (December 2000)		
	JJ	R. KOTIN ET AL, Site-Specific Integration by Adeno-Associated Virus, Proc. Natl. Acad. Sci. USA, 87:2211-2215 (March, 1990)		
	KK	K. FISHER ET AL, Recombinant Adeno-Associated Virus for Muscle Directed Gene Therapy, Nature Medicine, 3(3):306-312 (March, 1997)		
h	LL	X. XIAO ET AL, Efficient Long-Term Gene Transfer into Muscle Tissue of Immunocompetent Mice by Adeno-Associataed Virus Vector, Journal of Virology, 70(11):8098-8108 (November, 1996)		

* EXAMINER: Initial if reference considered,	, whether or not citation is in conformance with MPEP 609. Draw line
through citation if not in conformance and not	considered. Include copy of this form with next communication to
applicant. 1 Applicant's unique citation designa	ation number (optional). Applicant is to place a check mark here if English
	on of information is required by 37 CFR 1.97 and 1.98. The information is
	iblic which is to file (and by the USPTO to process) an application.
	37 CFR 1.14. this collection is estimated to take 2 hours to complete,
	the completed application form to the USPTO. Time will vary depending
	ne amount of time you require to complete this form and/or suggestions for

Date

Considered

11/10/01

reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETE FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Alexandria, VA 22313-1450

Approved for use through 4/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Complete if Known 09/807,802

1635

April 17, 2001

James M. Wilson

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it

Application Number

Filing Date

Inventor

First Named

Group Art Unit

stitute for form 1449/PTO

Examiner

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Brian A. Whiteman Examiner Name Attorney Docket GNV31AUSA/UPN-K1774 6 of 8 Sheet Number

Examiner Cite No.1		Include the name of the author (In CAPITAL LETTERS), title of the article (when appropriate), title of the item, (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), columeousse number(s), publisher, city and/or country where published	T²
pr	MM	R. SNYDER ET AL, Persistent and Therapeutic Concentrations of Human Factor IX in Mice After Hepatic Gene Transfer of Reocmbinant AAV Vectors, Nature Genetics, 16:270-276 (July, 1997)	
	NN	N. MUZYCZKA, Use of Adeno-Assicated Virus as a General Transduction Vector for Mamalian Cells, Current Topics in Microbiology and Immunology, 158:97-129, (1992)	
	00	R. SAMULSKI ET AL, Targeted Integration of Adeno-Associated Virus (AAV) into Human Chromosome 19, EMBO Journal, 10(12):3941-3950 (December, 1991)	
	PP	K. BERNS, Parvoviridae: The Viruses and Their Republication, in B. N. Fields et al, Fields Virology, 3 rd ed., Vol. 2, Chapter 69, pp. 2173-2197 (Lippincott-Raven Publishers, Philadelphia, PA) (1996)	
	QQ	R. SNYDER ET AL, Features of the Adeno-Associated Virus Origin Involved in Substrate Recognition by the Viral Rep Protein, Journal of Virology, 67(10):6096-6104 (October, 1993)	
P~	RR	K. BERNS, Parvovirus Replication, Microbiological Reviews, 54(3):316-329 (September, 1990)	

Considered Signature * EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 USC 122 and 37 CFR 1.14. this collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETE FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Alexandria VA 22313-1450

Approved for use through 4/30/2003. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

JAN 2 3 24-Substitute for form 1449/PTO

Ser e mone

Sheet

Examiner

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

8

7 of

Complete if Known							
Application Number	09/807,802						
Filing Date	April 17, 2001						
First Named Inventor	James M. Wilson						
Group Art Unit	1635						
Examiner Name	Brian A. Whiteman						
Attorney Docket Number	GNV31AUSA/UPN-K1774						

		OTHER PRIOR ART-NONPATENT LITERATURE DOCUMENTS		
Examiner Initials*	Cite No.1	Include the name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item, (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), columeousse number(s), publisher, city and/or country where published	T²	
Po	SS	R. SAMULSKI ET AL, Cloning of Adeno-Associated Virus into pBR322: Rescue of Intact Virus from the Recombinant Plasmid in Human Cells, Proc. Natl. Acad. Sci. USA, 79:2077-2081 (March, 1982)		
	TT	J. CHIORINI ET AL, Cloning of Adeno-Associated Virus Type 4 (AAV4) and Generation of Recombinant AAV4 Particles, Journal of Virology, 71(9):6823-6833 (September, 1997)	,	
	UU	S. MURAMATSU ET AL, Nucleotide Sequencing and Generation of an Infectious Clone of Adeno-Associated Virus 3, Virology, 221:208-217, (1996)		
	VV	C. BALAGUE ET AL, Adeno-Associated Virus Rep78 Protein and Terminal Repeats Enhance Integration of DNA Sequences into the Cellular Genome, Journal of Virology, 71(4):3299-3306 (April, 1997)		
	ww	R. SUROSKY ET AL, Adeno-Associataed Virus Rep Proteins Target DNA Sequences to a Unique Locus in the Human Genome, Journal of Virology, 71(10):7951-7959 (October, 1997)		
P XX		X. XIAO ET AL, Gene Transfer by Adeno-Associated Virus Vectors into the Central Nervous System, Experimental Neurology, 144:113-124 (1997)		

Signature Considered * EXAMINER: Initial if reference to sidered, whether or not citation is in conformance with MPEP 509. Draw line *Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 USC 122 and 37 CFR 1.14. this collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the Individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETE FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Alexandria, VA 22313-1450.

Date

Approved for use through 4/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Application Number 09/807,802

JAN 2 3 2054 60 Contains a valid OMB co

Sheet

8

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

of

(Use as many sheets as necessary)

8

E	Filing Date	April 17, 2001
- 3Y	First Named Inventor	James M. Wilson
	Group Art Unit	1635
necessary)	Examiner Name	Brian A. Whiteman
	Attorney Docket	GNV31AUSA/UPN-K1774

Complete if Known

			γ
Examiner Initials*	Cite No.1	Include the name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item, (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), columeousse number(s), publisher, city and/or country where published	T ²
RV	YY	ROSE ET AL, Microbiology, Vol. 546, Pages, 86-92, (1966)	
	ZZ	ANDERSON ET AL, Nature, Vol. 392, pages, 25-30, (1998)	
1	AAA	VERMA, Nature, Vol. 389, pages 239-242, (1997)	7.
R	BBB	ORKIN ET AL, Report and Recommendations of the Panel to Assess the NIH Investments in Research on Gene Therapy, issue by the National Institute of Health, (December 7, 1995)	

Number

-					_								
	Examiner /	ì.		Date	п	Λ	Τ.	_					
	Signature / /	4 4	1		1	//	1	ハ			Λ	,	
	Signature 'II' /	ገለ	.	Considered I		<i>!</i> L		" 1	١	/	<i>11 1</i>		
- 4					_			_			~~		

^{*} EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 USC 122 and 37 CFR 1.14. this collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETE FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Alexandria, VA 22313-1450.